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Personnel

**AIR FORCE SENIOR EXECUTIVE
RESOURCES (PA)**

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This instruction implements AFPD 36-9, *Senior Executive Resource Management*, and gives requirements and procedures for management of Senior Executive Service (SES), Scientific and Professional (ST), and Senior Level (SL) position and personnel resources. It does not apply to the Air National Guard.

SUMMARY OF REVISIONS

This is the first publication of AFI 36-901, substantially revising AFR 40-920, *Air Force Senior Executive Service*, dated 19 November 1984, and including elements of abolished AFR 40-2, *Air Force Executive Assignment Program*, dated 12 July 1974.

Chapter 1

GENERAL INFORMATION

1.1. Background Information:

1.1.1. This instruction sets forth the requirements for and gives guidance on the administration and management of the Senior Executive Service (SES), Scientific and Professional (ST), and Senior Level (SL) (collectively termed "senior executive" or "senior civilian") resources in the Air Force. The SES was established by the Civil Service Reform Act of 1978, Public Law 95-454, 5 U.S.C. ¶3131. The SES incorporates civilian managerial positions above grade GS-15, but not exceeding Level IV of the Executive Schedule and not requiring Senate confirmation. The SES is a "third" service, completely separate from the competitive service (civil service positions filled by competitive examination resulting in career tenure) and the excepted service (civil service positions exempted from competitive examination by either law or administrative action because it is impossible or impractical to conduct an appropriate examination). The ST and SL pay systems were established by the Federal Employees Pay Comparability Act of 1990, Public Law 101-509, 5 U.S.C. ¶5376. ST and SL positions cover the same grade range as the SES, but are nonmanagerial (performing research and development functions in the case of ST). They are in either the competitive service or the excepted service.

1.2. Authorities and Responsibilities:

1.2.1. The Secretary of the Air Force manages the Air Force SES, ST, and SL programs.

1.2.2. The Secretary of the Air Force delegates authority to the Air Force Executive Resources Board (ERB) to approve both policy for senior civilian management and individual position and personnel actions. The ERB consists of a Chair (Under Secretary of the Air Force), Alternate Chair (Vice Chief of Staff of the United States Air Force) and other officials appointed by the Secretary of the Air Force. The ERB delegates authority to others.

1.2.3. Major Command (MAJCOM) commanders, equivalent Secretariat and Air Staff officials, and supervisors manage the senior civilian resources assigned to their organizations.

1.3. Applicability of Other Civilian Personnel Issuances. Use this instruction in conjunction with the policies and guidance in issuances by the U.S. Office of Personnel Management (OPM) in the Federal Personnel Manual 920 series and related regulations, and in other Air Force Instructions in the Personnel series. The requirements in those issuances are applicable in managing and administering the SES, ST and SL systems except when the SES is specifically excluded or this AFI establishes different requirements.

Chapter 2

MANAGING SES RESOURCES

2.1. Establishing and Maintaining Positions.

2.1.1. Retained Authority. The ERB establishes policies on SES position management and classification, and retains the following authorities for all SES positions:

2.1.1.1. Approve Air Force SES position requirements and request Office of the Secretary of Defense (OSD) and Office of Personnel Management (OPM) approval of the number of SES positions allocated to the Air Force.

2.1.1.2. Approve position classification.

2.1.1.3. Evaluate current and projected use of SES positions to assure proper use of resources.

2.1.2. Requesting Official. Submit requests for positions to AFDPS for ERB action only after approval by the Under Secretary, Assistant Secretaries and General Counsel in OSAF, Deputy Chiefs of Staff and Assistant Chiefs of Staff in HQ USAF, or MAJCOM commander and equivalent, for positions in their organizations.

2.1.3. Criteria for an SES Position. A position may be designated as an SES position when it meets the following criteria:

- Classified above the GS-15 grade level and not designated above Level IV of the Executive Schedule.
- The immediate supervisor of the position must be an SES or higher civilian or a general officer.
- Characterized by one or more of the following:
 - Directs the work of an organizational unit.
 - Held accountable for the success of one or more specific programs or projects.
 - Monitors progress toward organizational goals and periodically evaluates and adjusts goals..
 - Supervises the work of employees other than personal assistants.
 - Exercises important policy making, policy determining, or other executive functions.

2.1.4. Documentation Required. Requesting officials submit the following documentation to AFDPS for the establishment of an SES position:

2.1.4.1. Position Description. The Civilian Personnel Flight (CPF) works with the supervisors of SES positions and documents each proposed new or revised position description on Optional Form 8, Position Description. The CPF submits the original copy of this form with an evaluation statement as part of the substantiating analysis through appropriate channels to AFDPS for ERB approval. Send all changes to SES position descriptions to AFDPS with a new position description and any necessary documentation stating the reason for the change. Minor changes may be documented by pen and ink changes to a previously approved position description and submitted with a cover letter to AFDPS. The OF 8 is retained until replaced.

2.1.4.2. Substantiating Analysis. Submit documentation in the format specified at **Attachment 2** with each proposed new or revised position description. Include the classification rationale as

to why the position exceeds the GS/GM-15 level and address how the position meets the SES criteria in paragraph 2.1.3..

2.1.4.3. Justification. Justify why the position is needed and why it was not previously established.

2.1.4.4. Organizational Charts and Functional Statements. Include the organizational chart(s) and functional statement for the organization where the position is located, plus organizational charts showing reporting relationships up to the MAJCOM commander or equivalent Secretariat and Air Staff level.

2.1.4.5. Identification of Predecessor Position. Include a discussion of the proposed SES position's predecessor position and incumbent (GM-15, military officer, etc.), if any, and an explanation of the plans for the predecessor position and the changes to it that justify SES.

2.1.4.6. Type Designation. If the position must be filled by a career appointee to ensure the impartiality, or the public's confidence in the impartiality of the Government, include a brief explanation and recommend the position as "Career Reserved." Recommend all others as "General." Career reserved positions include audit and inspection, law enforcement, investigation and security, adjudication and appeals, contracting, and scientific or highly technical or professional positions.

2.1.5. Annual Requirements Survey. Each year AFDPS announces the deadline and documentation requirements for the survey of SES requirements for the next fiscal year. Normally, the Executive Resources Board considers only those SES requirements included in the annual survey. During the annual review, supervisors review all current SES position descriptions for currency and accuracy. OPM authorizes, either annually or biennially, the number of SES positions for each agency and the ERB assigns SES authorizations allocated to the Air Force. AFDPS notifies organizations of the results of the annual survey.

2.1.6. Out-of-Cycle Requests. The officials listed in paragraph 2.1.2. may request new SES positions whenever the need arises. However, they must explain why the need was not addressed in the annual survey and must include the documentation listed in paragraph 2.1.4. An SES allocation may not always be available to meet even high priority out-of-cycle requirements.

2.1.7. Precedence Priority (DV) Codes. The Executive Resources Board (ERB) assigns each SES position code DV-4, DV-5, or DV-6. The DV code may not be higher than that of the supervisor. The ERB assign new appointees to the SES a DV code one level higher than that commensurate with their level of responsibility immediately prior to appointment to the SES. At management's option and with ERB approval, after at least one year at the lower level, increase the DV code in one-level increments to the level supported by the position.

2.2. Recruitment and Selection.:

2.2.1. The ERB establishes SES employment policies; oversees the merit staffing process for selection of career SES members; approves the qualifications of all selectees for SES positions; and approves all selections, reassignments, developmental assignments, extended details, and the extended reemployment of annuitants.

2.2.2. All appointees must meet the qualification requirements for the position for which selected. Management, with assistance from the CPF, must document the qualifications analysis in writing.

2.2.3. Types of SES Appointments:

2.2.3.1. Career. Select applicants for career appointment through the Air Force SES merit staffing process. Before initial career appointment to the SES, the OPM Qualifications Review Board (QRB) approves the selectee's executive qualifications. Career appointments may be made to any SES position.

2.2.3.2. Noncareer. The Secretary of Defense approves all noncareer appointees, subject to receipt of appropriate noncareer appointment authorizations from OPM. Appoint only to "General" positions. Appointments do not require merit staffing procedures and appointees do not acquire SES career status. Terminate appointments at the discretion of the Secretary of the Air Force or his or her designee after concurrence by the Secretary of Defense.

2.2.3.3. Limited. There are two types of time-limited SES appointments, limited term and limited emergency. Major commanders or equivalents request AFDPS to obtain ERB and OPM approval before any limited appointment is made. Appoint only to "General" positions. Appointments do not require merit staffing procedures and appointees do not acquire SES career status. Terminate appointments at the discretion of the Secretary of the Air Force or his or her designee.

2.2.3.3.1. Limited Term. A nonrenewable appointment for up to 36 months to a position that must be abolished when the appointment expires.

2.2.3.3.2. Limited Emergency. A nonrenewable appointment for up to 18 months to a position established to meet a bona fide, unanticipated, urgent need.

2.2.3.3.3. Extensions of Limited Appointments. Extend a limited appointment without prior OPM approval only if the initial appointment was for less than the maximum allowed period of time. However, a person who, during the past 48 months, has held one or more limited appointments for a total of 36 months cannot continue to serve in a limited appointment. Request ERB approval for all extensions.

2.2.4. Competitive Recruitment. The ERB requires SES merit staffing procedures for all initial career SES appointments, except for graduates of SES candidate development programs who have a current Qualifications Review Board certification. CPFs conduct extensive and systematic competitive recruitment. The process must be in full compliance with merit principles, free from any prohibited personnel practice, and must meet the requirements of the Uniform Guidelines on Employee Selection Procedures.

2.2.4.1. Recruitment Area. Include all groups of qualified candidates in the executive, judicial, and legislative branches of the Federal Government in the search for applicants. Do not limit to the Air Force or to only those with competitive status. Encourage recruiters to broaden their search for qualified candidates to include the private sector. Do not preclude targeted recruitment for specialized positions among groups of qualified candidates when they can be located in one or more specialized target areas. In all recruiting, make positive efforts to locate qualified minorities, women, and people with disabilities.

2.2.4.2. Requirements and Procedures for Competitive Recruitment and Selection. Further information on requirements is in **Attachment 2, Attachment 3, Attachment 4, and Attachment 5.**

2.2.4.3. Probationary Period. Require all new career SES appointees to serve a one-year probationary period.

2.2.5. Inquiries and Appeals of Recruitment Action.

2.2.5.1. The recruiting Civilian Personnel Flight (CPF) must make SES recruitment and selection procedures available for review.

2.2.5.2. CPF will tell applicants whether they are eligible for a position for which they have applied and whether their applications have been referred to the selecting official. If requested, give applicants access to qualification questionnaires or reports of qualification inquires about themselves if there is no disclosure of confidential sources.

2.2.5.3. Applicants may appeal to the Merit Systems Protection Board (MSPB) or the Equal Employment Opportunity Commission (EEOC) if they have complaints falling under the purview of those agencies.

2.2.5.4. Air Force employees use the Air Force grievance procedure to resolve allegations of irregularities in recruitment and selection for SES positions. CPF must immediately inform AFDPS of all grievances and appeals.

2.2.6. Recognition on Appointment to SES. Commanders present to each new Air Force SES member an SES certificate and emblem (pin or lapel button). Obtain these items from AFDPS.

2.2.7. Reassignments. The ERB encourages functional and geographic mobility of SES members. Career SES members cannot be reassigned within 120 days after the appointment of the Secretary of the Air Force; or within 120 days after the appointment of the immediate supervisor who is a non career appointee who has the authority to make an initial performance appraisal. The following procedures apply:

2.2.7.1. ERB Approval. Commanders or their designee submit all proposed reassignments, with a statement of qualifications for the new position, to AFDPS for ERB approval.

2.2.7.2. Consultation with Member. The supervisor must discuss with the SES member the reasons for reassignment to a different commuting area.

2.2.7.3. Notice to Member. After ERB approval, employing organizations must give the member 15 days advance written notice for a reassignment in the same commuting area, and 60 days advance written notice for reassignments to a new geographic area.

2.2.7.4. Reconsideration. An SES member unwilling to accept a reassignment may request ERB reconsideration. The written request must state why the reassignment is not in the best interest of the member or the Air Force. If unsatisfied with the ERB decision, the SES member may appeal the final decision to the Secretary of the Air Force. The appeal must be submitted to AFDPS.

2.2.8. Details. Commanders of MAJCOMs and comparable level organizations, Deputy Chiefs of Staff and Assistant Chiefs of Staff in HQ USAF, and the Under Secretary, Assistant Secretaries and the General Counsel in OSAF may detail an SES member assigned to their organization for up to 180 days, in increments of 120 days or less.

2.2.8.1. Extensions of Details. Submit any extension beyond the initial period of 180 days to AFDPS for ERB approval not later than 30 days before the expiration of the detail. The ERB can not retroactively approve the extension of a detail. The total length of a detail should normally not exceed one year. Include in the requests for extension of SES details the name and title of the SES member proposed for detail, the position to which detailed, appropriate organization charts, the starting date of the detail and time period covered by the proposed extension, an explanation of

why an extension beyond 180 days is necessary, and the impact on the SES member's current position. Do not extend details to unestablished positions beyond 120 days.

2.2.8.2. Details SES Members to non-SES Positions or non-SES Employees to SES Positions. Do not detail SES members to positions at GS-15 and below. Details of non-SES employees to SES positions require competitive procedures after 120 days, with a limit of 240 days on the total length of the detail. Submit requests for extension beyond 240 days to AFDPS for OPM approval. Detail only career-type appointees to SES career reserved positions.

2.2.8.3. Performance Standards for Details. Establish standards for periods of detail expected to last 120 days or more (paragraph 2.3.2.).

2.2.9. Recertification for Retention in the SES. Performance Review Boards (PRB) every third year, after the end of the performance appraisal period on 30 June, recertify for retention in the SES, conditionally recertify, or do not recertify all career SES members who were in the SES for the full three years ending that 30 June. Recertification is an extension of the original QRB certification through which most members entered the SES. If not recertified, separate the member from the SES. If conditionally recertified, supervisors establish a performance improvement plan, closely monitor the member's performance, and at the end of one year recertify or do not recertify for retention in the SES. Recertification is required in 1994, 1997, etc. AFDPS issues specific instructions before each recertification process.

2.3. Performance Appraisal:

2.3.1. General Information. An annual appraisal of each SES member is required by law. The performance appraisal is the key factor in determining retention in the SES and in selection for pay level adjustments and performance awards.

2.3.2. Determining Performance Standards.

2.3.2.1. At the beginning of each appraisal period, the immediate supervisor consults with the SES member and establishes performance requirements and critical elements for the member's position. Do this within 30 days after an SES member is appointed, changes position, or is detailed for a period expected to last at least 120 days. Send a copy of the performance plan for SES members on probation to the CPF.

2.3.2.1.1. The immediate supervisor makes the final determination of the performance requirements and critical elements.

2.3.2.1.2. Base the performance plan on the requirements of the SES member's position. Include accomplishment of organizational objectives in at least one performance element.

2.3.2.1.3. Identify one or more critical performance elements. A critical element is any performance requirement which is so important that inadequate performance in that area outweighs acceptable performance in all other aspects of the job. Equal employment opportunity is a critical element for all supervisory SES positions.

2.3.2.1.4. Include significant safety and health responsibilities in the performance plan. Consult an Air Force safety and occupational health specialist, if necessary, when developing the plan.

2.3.2.1.5. Include a separate, concise critical element on resolution of contract audits when it is a primary and recurring requirement of the position. Address as part of another critical element when it is a significant, but not primary, requirement. Standards reflect effectiveness, not only in timeliness, but also in quality of contract audit resolutions.

2.3.2.1.6. When applicable, include responsibility of managers for internal controls to assure funds, property, and other government assets are safeguarded against waste, loss, unauthorized use, or misappropriation in performance standards.

2.3.2.1.7. A change in supervisors during the appraisal period may necessitate a modification or a complete revision of the performance requirements. If the AF Form 925, **Senior Executive Appraisal**, is revised before the end of the appraisal period, the supervisor gives the SES member a copy of the revised form.

2.3.2.2. Clearly describe the expected results of the SES member's performance at the fully successful level. The SES member and the rating official attempt to reach agreement concerning those expected results to aid in later agreement on the level of accomplishment. The supervisor determines the expected results and level of accomplishment. The clarity and precision of these written statements enhance the usefulness of the final performance appraisal.

2.3.3. At the end of the appraisal period, the supervisor documents the performance requirements on AF form 925, **Senior Executive Appraisal**, and gives the SES member a copy of the completed form.

2.3.4. Supervisors discuss progress toward the desired outcomes throughout the appraisal period. These discussions ensure the continued mutual understanding of job expectations. They also provide an opportunity to revise the critical elements and performance requirements during the appraisal period to take into account changing circumstances. Supervisors will have at least one such progress review during the appraisal period.

2.3.5. Performance Appraisal Periods:

2.3.5.1. The normal SES performance appraisal period is 1 July through 30 June. However, supervisors complete an appraisal for a shorter period, as follows:

2.3.5.1.1. If the SES member has been in a position for at least 120 calendar days, the supervisor completes an interim appraisal if either the member or supervisor is changing positions.

2.3.5.1.2. When an SES member is detailed or reassigned within the Air Force for 120 days or longer, the SES member's supervisor during that period prepares an interim appraisal. When an SES member is detailed outside of the Air Force, obtain appraisal information from the borrowing organization for consideration in the member's next rating of record.

2.3.5.1.3. Extend the appraisal period of an SES member who has served in an Air Force SES position for less than 120 days on 30 June until 120 days have elapsed, at which time prepare a rating of record.

2.3.5.1.4. Except as provided in paragraph **2.3.5.1.5.**, terminate the performance appraisal period when the PRB authority determines an adequate basis exists on which to appraise and rate the SES member's performance. Do not terminate the appraisal period until the member has been in his or her position at least 120 days.

2.3.5.1.5. Do not give a career SES member a performance appraisal within 120 days after the beginning of a new Presidential administration.

2.3.5.1.6. Give an interim performance appraisal at a time other than the end of the appraisal period because of a change in supervisors. If supervised for 120 days or more, an interim appraisal is required.

2.3.5.1.7. The SES member's supervisor considers interim appraisals in assigning a final rating.

2.3.6. Performance Appraisal Rating Process:

2.3.6.1. Rating Official. The immediate supervisor is the rating official. At the end of the appraisal period, the supervisor assesses the performance of the SES member on each performance requirement, considering any interim appraisals during the appraisal period. Focus the appraisal on results achieved rather than individual characteristics or behavior. Evaluate both individual and organizational performance using factors such as improvements in efficiency, productivity, quality of work, reduction of paperwork, cost efficiency, timeliness of performance, meeting affirmative action goals, achievement of equal employment opportunity requirements, and other indications of effectiveness. Also consider the productivity and performance quality of the employees for whom the member is responsible. When writing appraisals, supervisors must comply with the instructions contained in AF Form 925. He or she assigns one of the following adjective ratings to each performance element and to the member's total performance:

- **O--Outstanding.** Consistently performs in an outstanding manner far exceeding the Fully Successful criteria.
- **E--Excellent.** Consistently performs in a manner which is considerably above the Fully Successful criteria.
- **F--Fully Successful.** Consistently performs in a manner which meets the performance requirements and critical elements.
- **M--Minimally Satisfactory.** Often performs in a manner which falls below the Fully Successful criteria.
- **U--Unsatisfactory.** Consistently performs in a manner which falls below the Fully Successful criteria.

2.3.6.1.1. Overall Rating. The overall rating is not necessarily a simple average of the performance requirement ratings. It reflects the supervisor's judgment of the member's overall performance. Assign an Unsatisfactory rating if performance in any critical element is Unsatisfactory. Assign a Fully Successful or lower rating if performance on any critical element is Minimally Satisfactory. Assign a rating less than Outstanding if performance on any critical or noncritical element is less than Outstanding. Within these constraints, assign the overall rating at the level of performance met for at least half of the critical elements. If the rating on any noncritical element is less than Fully Successful, the supervisor decides whether to lower by one level the overall rating indicated by performance on the critical elements, but not below Minimally Satisfactory. When a critical element is rated less than Fully Successful, the supervisor takes documented, remedial action starting with counseling, remedial training, and more direct supervision. If these actions do not improve performance in critical elements, consider removal.

2.3.6.1.2. Justification. When the overall rating is Fully Successful or higher, limit justifications and comments to the space designated on the appraisal form.

2.3.6.1.3. Discussion. When the appraisal is completed, the supervisor discusses it with the SES member and gives the member a copy of the documented AF Form 925. The member indicates concurrence or nonconcurrence, and when nonconcurring makes comments in writing if desired. The supervisor sends the appraisal and the member's response, if any, to a higher level official in the organization for review. If there is no reviewing official (see paragraph 2.3.6.2.), the reviewing official's comment area is not used.

2.3.6.2. Reviewing Official. The Reviewing Official is normally the second level supervisor. When there is no second level supervisor in an organization (e.g., when the MAJCOM Commander is the immediate supervisor), the rating official does not complete the "Reviewing Official" section of the appraisal. The reviewing official takes the following actions:

2.3.6.2.1. Prepares a written recommendation and indicates concurrence or nonconcurrence of recommended overall rating and assigns amended rating, if appropriate.

2.3.6.2.2. Sends the appraisal, any employee response, and recommendation through the endorsing official, if appropriate, to the Executive Secretary of the PRB with jurisdiction over the SES position.

2.3.6.2.3. Provides a copy of the appraisal to the SES member and supervisor, if the reviewing official changed any rating.

2.3.6.3. The Performance Review Board (PRB):

2.3.6.3.1. Appointing Authorities and Jurisdiction. The following officials ("Appointing Authorities" for performance) establish a PRB with the jurisdiction shown:

2.3.6.3.1.1. The Under Secretary of the Air Force for SES members assigned to OSAF.

2.3.6.3.1.2. The Vice Chief of Staff, USAF, for SES members assigned to HQ USAF offices and other organizations not under the OSAF or Air Force Materiel Command (AFMC) PRBs.

2.3.6.3.1.3. The Commander, AFMC, for SES members in AFMC.

2.3.6.3.2. Membership of the PRBs. The PRB Appointing Authorities select the members of the PRB for which they are responsible.

2.3.6.3.2.1. A PRB is composed of five members. The Authority appoints the Chair. When reviewing the performance of a career member, more than one half of the members of the PRB consists of career SES members.

2.3.6.3.2.2. Air Force statutory officials, general officers, and SES members are eligible to serve on a PRB. SES career members of other agencies may also be selected to serve.

2.3.6.3.2.3. All PRB members must possess current Fully Successful, or better, performance ratings (or if not Air Force employees, the equivalent of this rating in another rating system); must consistently apply the Air Force appraisal system (or a comparable system) effectively in their own organizations; and must possess a thorough knowledge and understanding of the Air Force appraisal system gained through experience or training.

2.3.6.3.2.4. Appoint PRB members in a manner to assure consistency, stability, and objectivity in assigning performance appraisal ratings. AFDPS ensures that a list of all personnel eligible to serve as PRB members is published in the Federal Register before any PRB

is convened. The PRB Appointing Authorities make appointments to their PRBs from this master PRB register.

2.3.6.3.2.5. An SES member may not serve on his or her own PRB if he or she is eligible for a bonus.

2.3.6.3.2.6. A PRB member does not participate in the rating or scoring of his or her own appraisal, the appraisal of a direct subordinate, or the appraisal of his or her supervisor.

2.3.6.3.3. Functions of a PRB. In addition to making recommendations about appraisals, a PRB makes recommendations to its authority regarding other actions. These include changes in pay level of an SES member, recommendations for bonus and the amount and recertification.

2.3.6.3.3.1. The PRB members review and evaluate each appraisal, the SES member's response, if any, and the written recommendation and concurrence or nonconcurrence by the reviewing official and endorsing official, if appropriate. They consider the accuracy, fairness, and effectiveness of each SES member's proposed rating. They also consider the equity and consistency with the proposed ratings of the other SES members under their purview. The PRB then makes a written recommendation on the final rating for each member to the PRB Appointing Authority. If the PRB disagrees with the SES member, supervisor, reviewing official, or endorsing official regarding the rating, the PRB must support its recommendation to the PRB appointing authority with written justification.

2.3.6.3.3.2. The PRB also reviews proposed recertification actions (paragraph 2.2.9.) and makes recommendations to the Appointing Authority.

2.3.6.4. Approval of Ratings. The PRB Appointing Authority must consider the recommendations of the immediate and higher level supervisors and of the PRB. The PRB Appointing Authority approves all final ratings of Fully Successful or better. If the Appointing Authority proposes to assign an Unsatisfactory or Minimally Satisfactory performance rating, submit the proposal to AFDPS who will advise the ERB Chair. The Chair elects one of the following options:

2.3.6.4.1. Appoints an ad hoc committee of the ERB to review the case and make a recommendation to the Chair.

2.3.6.4.2. Directs the full ERB to review the case and make a recommendation to the Chair.

2.3.6.4.3. Makes a decision without advice from the ERB members.

2.3.6.5. Actions Required for Less Than Fully Successful Performance. When an SES member performs at the Minimally Satisfactory or Unsatisfactory level, the supervisor will submit a special AF Form 1426, **Senior Executive Service Executive Enhancement Plan (EEP)**, within 30 days after the final rating, to the ERB for approval. The EEP includes, but is not limited to, formal training, on-the-job training, counseling, and closer supervision to improve performance. An EEP is not required when removal for performance is proposed .

2.3.6.6. Documentation. At the end of the rating process, when all appraisals are finalized, the Executive Secretary of the PRB sends the completed AF Form 925 to the Civilian Personnel Flight (CPF). The CPF files completed AF Form 925 and related documents for each member in the appropriate Employee Performance File System and gives copies of the appraisal to the employee and the supervisor. CPF destroys appraisals five years after the date of the ratings. When an SES

member is reassigned or transferred, the CPF forwards appraisals within the last five years to the gaining organization.

2.3.6.7. Appeal of Performance Appraisal. An SES member cannot appeal a performance appraisal or grieve it under the Air Force grievance system. However, if the Air Force proposes to remove a member from the SES for inadequate performance, the member can request an informal hearing before an official designated by the MSPB.

2.4. Pay:

2.4.1. Pay Level Criteria. The ERB approves a pay level from ES-1 to ES-6 for each SES member according to the following rules:

2.4.1.1. Set the pay level for new appointees to the SES at the rate three percent above the appointee's pay immediately before the SES appointment if possible.

2.4.1.2. The Secretary of the Air Force approves pay levels above ES-4.

2.4.1.3. Do not exceed ES-3 for DV-6 positions (ES-2 if reporting to a colonel by exception to the reporting level requirement in 2.1.3.).

2.4.1.4. Do not exceed ES-5 for DV-5 positions.

2.4.1.5. DV-4 positions can go to ES-6.

2.4.2. Pay Level Adjustments.

2.4.2.1. All adjustments must be tied to performance, be reviewed by a PRB, and meet all requirements to be effective by 31 December in the year in which requested. Do not request out-of-cycle adjustments unless the SES member is reassigned to a position with greater responsibility or extraordinary circumstances justify the pay change.

2.4.2.2. The SES member must have an Outstanding performance rating for an increase to ES-2 through ES-6, and a previous SES bonus or Presidential Rank Award for ES-4 and above for career members.

2.4.2.3. The supervisor requests through command channels PRB review of proposed pay level adjustments for eligible members. The PRB reviews requests and makes recommendations to the appropriate appointing authority. The authority sends the request to AFDPS for ERB approval.

2.4.2.4. The ERB must approve adjustments up to and including ES-4. The ERB recommends action to the Secretary, who retains approval authority for adjustments to ES-5 and ES-6.

2.4.2.5. Adjust pay levels up or down only one level at a time, and only after a full year from the last adjustment. Consider appointment to the SES a pay adjustment for this purpose.

2.4.2.6. Supervisors cannot propose an SES member for a pay level adjustment until after completion of the required probationary period.

2.4.2.7. The effective date of the adjustment is the date of ERB or Secretary of the Air Force approval, or when the SES member is eligible for the adjustment, whichever is later. CPF will send a copy of the SF 50, Notification of Personnel Action, for all approved pay adjustments to AFDPS within five workdays after the action is processed.

2.4.3. Reduction in Pay. To reduce an SES member's pay level, obtain prior approval by the ERB. The supervisor gives the member 15 calendar days advance written notice of the action after receiving the ERB approval.

2.4.4. Compensation Limitations. Basic pay plus locality pay may not exceed the payable rate for Executive Schedule level III. Total compensation in any calendar year may not exceed the payable rate for Executive Schedule level I in effect at the end of that year. Total compensation includes basic pay; locality pay; recruitment, relocation and retention payments; physician comparability allowances; bonus/incentive awards; and stipends accompanying Presidential ranks.

2.5. Awards:

2.5.1. Performance Award (Bonus). After completing probation and when rated Outstanding, each career SES member can compete for a bonus based on performance during the appraisal period.

2.5.1.1. Bonus awards are paid in a lump sum. When the bonus results in total compensation in a calendar year greater than the salary for Executive I at the end of the calendar year, the CPF will reduce any award payment accordingly. Pay the amount that could not be paid because of the total compensation ceiling to the SES member at the start of the next year and count it in the total compensation limit for that year. Do not subject award payments to retirement, health benefits, or government life insurance deductions. Do not include the amount of the award in any "high three" average pay computation for retirement benefits. Withhold deductions for income taxes from the amount paid.

2.5.1.2. System for Awarding Bonuses. Consider SES members for bonus awards concurrently with the annual performance appraisal. The PRB appointing authority determines bonuses after considering the recommendations of the PRB.

2.5.1.2.1. The PRB recommends to the appointing authority up to 45 percent of the career SES members for bonuses in standard amounts announced by AFDPS for each performance cycle.

2.5.1.2.2. The appointing authority reviews the PRB recommendations for bonus awards, determines which SES members receive bonuses, and submits a summary of the bonus distribution, including names of recipients and amounts, to AFDPS for administrative review.

2.5.1.2.3. Documentation. The CPF records performance ratings and awards in the Personnel Data System-Civilian (PDS-C) and in the SES member's Employee Performance File and Official Personnel Folder, as appropriate. Retain performance ratings for five years. In the case of a bonus, the CPF assists the supervisor in arranging an appropriate presentation ceremony and documents the bonus with a Standard Form 50.

2.5.2. Presidential Rank Awards of Meritorious and Distinguished Executive With Accompanying Stipends. To recognize prolonged, high quality accomplishments by career members of the SES, the President approves honorary ranks and accompanying stipends to a select number of executives.

2.5.2.1. The President awards Meritorious Executive rank to five percent or less of career SES members Government-wide for sustained accomplishments. Air Force pays recipients of this award a lump sum stipend of \$10,000.

2.5.2.2. The President awards Distinguished Executive rank to one percent or less of career SES members Government-wide for sustained extraordinary accomplishments. Air Force pays recipients of this award a lump sum stipend of \$20,000. If eligible, OPM considers for Meritorious Executive Rank those nominated but not selected for Distinguished Executive.

2.5.2.3. Eligibility for Presidential Rank Awards:

2.5.2.3.1. These awards are for sustained accomplishments over many years. The minimum period is three years in the SES. Commanders submit performance appraisals for the last three full rating periods to substantiate the service. Usually, an individual nominated for the rank of Meritorious Executive has bonuses for the past years' performance. A nominee for Distinguished Executive normally first achieves the rank of Meritorious Executive; however, in rare instances, when only Distinguished Executive rank is appropriate, the member need not have previously been awarded the Meritorious Executive Rank if Secretary of the Air Force approves.

2.5.2.3.2. To be considered for the rank of Meritorious Executive, an SES member performs at a level setting the member above his or her peers and warranting recognition which could not be appropriately provided by the Secretary of the Air Force or the Secretary of Defense.

2.5.2.3.3. Nominees for Distinguished Executive have accomplishments affecting a major Air Force program or a broad area of science or technology. Commanders nominate those whose achievements are among the most significant contributions to mission accomplishment by Air Force SES members during the period of consideration.

2.5.2.3.4. Do not award any member who achieves a rank of either Meritorious Executive or Distinguished Executive that same award during the following four fiscal years. Do not give a member both a performance bonus and a rank award in the same calendar year.

2.5.2.4. The Presidential Rank Award Approval Process:

2.5.2.4.1. AFDPS annually issues a call for nominations. Supervisors initiate nominations and submit them through command channels. Do not exceed three pages (one inch margins, any 10 or 12 point font) in the nomination justification. Include a brief (150 words or less) summary highlighting major career accomplishments and recognition; a list of major civilian awards and honors; a concise one page Federal employment history by date in reverse chronological order (show agency and department, position, and grade); the exact spelling of the member's name as it would appear on an award certificate; the nominee's home mailing address and office telephone number; the nominee's performance appraisals for the last three full rating periods; information for publicity release in the form requested by AFDPS in the call for nominations; and a completed but unsigned OPM Form 1390, Executive Personnel Transaction.

2.5.2.4.2. Performance Review Panels (PRP). The authorities (paragraph 2.3.6.3.1.) establish the organizational PRPs for the areas under their jurisdiction. PRP members may be statutory officials, general officers, and noncareer and ineligible SES members. The PRP recommends approval/disapproval of nominations for Rank Awards.

2.5.2.4.3. After reviewing PRP recommendations, the appointing authority nominates, in priority order, up to 15 percent of the career SES members covered by the organizational PRP as

of 31 December to AFDPS for submission to the Central PRP. AFDPS announces the annual deadline for submission of nominations to AFDPS, which is normally 1 December.

2.5.2.4.4. The ERB Chair appoints a central PRP to review nominations Air Force-wide for Presidential Distinguished Executive and Meritorious Executive Ranks for SES career members and to make recommendations to the Secretary of the Air Force through the ERB Chair.

2.5.2.4.5. The Central PRP reviews all nominations and sends its recommendations in rank order through the ERB Chair to the Secretary of the Air Force for approval and submission to OSD. Nominations are then sent to OPM for Government-wide screening and Presidential approval.

2.5.2.4.6. AFDPS notifies appropriate authorities of rank award recipients.

2.5.2.4.7. The President presents the Distinguished Executive Rank Award. OPM and/or the Air Force awards ranks of Meritorious Executive in a Government-wide or Air Force ceremony.

2.5.2.4.8. The CPF records the award in Defense Civilian Personnel Data System (DCPDS) and in the recipients' official personnel folder with a Standard Form 50, Notification of Personnel Action.

2.5.3. Restrictions on Performance Awards (Bonuses) and Presidential Rank Awards. These awards recognize executive accomplishments and serve to attract, retain, reward, and motivate highly competent career SES members for further outstanding performance. Accordingly:

2.5.3.1. Consider only current Air Force SES members for one of these awards.

2.5.3.2. While an SES member is prohibited from receiving a sustained superior performance award, or a performance award under the performance management and recognition system, the member may be paid for such awards approved prior to entry into the SES.

2.5.3.3. Do not consider SES members still in their probationary period for a bonus. Members proposed for a pay level adjustment or who have announced they are leaving the Air Force will normally not be given a bonus.

2.5.4. SES Honorary Awards. Several non-Government organizations present nonmonetary awards to recognize outstanding executive achievements. AFDPS annually requests nominations for these awards; follow the nomination instructions in the call for nominations. Do not submit nominations directly to the organizations giving the following awards.

2.5.4.1. Roger W. Jones Award for Executive Leadership, given by The American University.

2.5.4.2. Federal Executive Institute Alumni Association Executive-of-the-Year Award.

2.5.4.3. Executive Achievement Awards, given by the Senior Executives Association.

2.6. Executive Enhancement:

2.6.1. SES members participate in a continuing program of training, education, and work-related development experiences. Continuing development meets organizational needs for managerial improvement and increased performance; keeps members current in professional, technical, managerial, social, economic, and political areas; and meets the individual needs of members for growth and development.

2.6.2. Each SES member, in conjunction with the development of the annual performance plan, must have an AF Form 1426, **Senior Executive Service Executive Enhancement Plan (EEP)**, which focuses on the work-related environment. The immediate supervisor consults with the SES member to tailor enhancement activities to the member's needs. The EEP includes activities that strengthen performance, enhance existing competencies, and prepare the member for future assignments. The supervisor evaluates achievement of enhancement objectives in the annual performance appraisal process. SES members are responsible for their own enhancement, and for their subordinates. They are evaluated accordingly during the performance appraisal process. Following initial appointment to the SES, the servicing CPF will follow up on the requirements listed on the EEP included with the selection package. In all other cases, the supervisor notifies the servicing CPF of enhancement activity requirements in accordance with the instructions on the EEP form.

2.6.3. Residential Training. Supervisors and senior executives contact AFDPS for programs to meet a specific need. Submit nominations for centrally funded training when AFDPS issues an annual call for nominations.

2.6.3.1. Orientation. All newly appointed career SES members attend an orientation program, similar to the Air Force General Officers' Orientation. AFDPS schedules and coordinates the orientation for SES members.

2.6.3.2. Executive Level Courses. The Executive Resources Board (ERB) encourages SES members to attend executive level courses. The courses offered for general officers are of particular value.

2.6.3.3. OPM and Interagency Executive Level Courses. The ERB requires Federal Executive Institute (FEI) attendance for all newly appointed SES members within 12 months of appointment. Address requests for exceptions through AFDPS to the ERB for approval. If an SES member's executive qualifications are approved by OPM with a recommendation for subsequent completion of OPM executive development courses, give highest priority on EEPs to attendance at those courses.

2.6.4. Developmental Assignments. Supervisors encourage SES members to plan short assignments or details of 60 days or more with other Air Force organizations, the other services, other Federal agencies, business, industry, and universities.

2.6.5. Other Agency Opportunities. SES members may apply for special programs sponsored by the OPM and other Federal agencies.

2.6.6. Sabbaticals. The ERB may approve a sabbatical for up to 11 months (but not less than three months) for full-time study, uncompensated work experience, or research by a career SES member. A member may have only one sabbatical in any 10-year period. To be eligible for a sabbatical, the member must have had seven years of Federal civilian service at the SES or equivalent level, with at least two of the seven years in the SES; must not be eligible for optional retirement; must have a current outstanding performance appraisal; and must agree to remain in Federal civilian service for two consecutive years after completion of the sabbatical.

2.7. Adverse Actions and Removal:

2.7.1. Commanders submit all proposed adverse actions or removals for any reason to AFDPS for approval by the Executive Resources Board (ERB) before formal notification to the employee of the proposed action.

2.7.2. Removal During Probationary Period. Remove a career SES member in a probationary period only for unacceptable performance, misconduct, conditions arising before appointment, and reduction in force (RIF). Notify the member, in writing, at least 30 calendar days before the effective date of the action. In certain cases, place the SES member in an Air Force GS-15 position after removal from the SES. The member may appeal RIF actions to the Merit Systems Protection Board (MSPB). Procedural requirements are in 5 C.F.R. Part 359. Contact AFDPS for interpretation of the requirements and guidance on the removal process.

2.7.3. Removal for Performance. This paragraph covers SES members who have completed probation. Depending on the SES member's performance record, removal for performance may be either optional or mandatory.

2.7.3.1. Optional Removal. One Unsatisfactory rating. Reassign the member rated Unsatisfactory to another SES position for which qualified or remove him or her from the SES.

2.7.3.2. Mandatory Removal. Two Less than Fully Successful Ratings . Remove from the SES a member who receives two overall appraisal ratings of Unsatisfactory within five consecutive years or two overall ratings of Minimally Satisfactory or Unsatisfactory within three consecutive years.

2.7.3.3. Notify the member, in writing, at least 30 calendar days before the effective date of the action. Procedural requirements are in 5 C.F.R. 359. Contact AFDPS for interpretation of the requirements and guidance on the removal process.

2.7.3.4. A member may not appeal removal for performance to MSPB, but is entitled to request an MSPB informal hearing.

2.7.3.5. Removal for Failure to be Recertified. If a member is not recertified (paragraph 2.2.9.), remove him or her from the SES in accordance with paragraph 2.7.5.

2.7.3.6. Placement Rights after Removal for Less Than Fully Successful Performance or Failure to be Recertified. Place in a continuing position at GS-15 or above career SES members who have completed probation and are removed from the SES for less than Fully Successful performance. Give the same fallback right to an SES member not recertified for retention in the SES.

2.7.4. Removal of Noncareer and Limited Appointees. These employees serve at the pleasure of the Secretary and may be removed at any time. The Civilian Personnel Flight gives written notice at least seven calendar days before the effective date of the action. They are not entitled to placement rights and have no grievance or appeal rights. However, an SES member who received a limited appointment without a break in service from a career appointment in the Air Force is usually entitled to be placed in his or her former position, or one of like status, tenure, and grade.

2.7.5. Adverse Actions:

2.7.5.1. General Information. This paragraph applies to a suspension for more than 14 calendar days and removal of post-probation career SES members from the civil service for reasons other than performance or RIF. These provisions also apply to certain limited appointees and career appointees during probation who were in the competitive service immediately before SES appointment, as specified in 5 C.F.R. Part 752.

2.7.5.2. Adverse Action Procedures and Notices. These requirements are listed in 5 C.F.R. Part 752. For interpretation and guidance in specific cases, contact AFDPS.

2.7.5.3. Appeal Rights. SES members covered under paragraph 2.7.5.1. are entitled to appeal adverse actions to the MSPB.

2.7.6. Restrictions on Removal. CPF will not remove career SES appointees for performance or adverse action reasons within 120 days of the appointment of a new Secretary of the Air Force. This restriction does not apply to RIF removals.

2.7.7. Reduction-in-Force:

2.7.7.1. Reduction-in-Force (RIF) procedures apply to career SES members only. Use RIF procedures only when the elimination or modification of an SES position due to reorganization, a lack of funds, or a curtailment of work results in the need to separate an SES member.

2.7.7.2. Use a RIF only after all other options for placement of SES members have been exhausted. Do not conduct a RIF without prior ERB approval.

2.7.7.3. Governing procedures are in Department of Defense Instruction 1403.2, Reduction in Force in the SES (1 February 1991) . After ERB approval, AFDPS establishes an Air Force-wide retention register and coordinates the conduct of the RIF according to that instruction.

2.7.7.4. Assign career SES members who have completed probation to any vacant DoD SES position for which qualified. Consider them for vacant positions within their employing component, the Air Force, elsewhere in DoD, and other agencies, in that order.

2.7.7.5. If an SES member declines a reasonable offer of placement in another SES position, or if no placement offer can be made, separate the member from the SES following a 45 written day notice.

2.7.7.6. A career SES employee separated by RIF may appeal to the MSPB on the competitive procedures taken under a RIF.

Chapter 3

MANAGING ST AND SL RESOURCES

3.1. Establishing and Maintaining positions:

3.1.1. Retained Authority. The ERB establishes policies on Scientific and Professional (ST) and Senior Level (SL) position management, position classification, recruitment, and selection, and retains these authorities for all ST and SL positions:

3.1.1.1. Approve Air Force ST and SL position requirements and request Office of the Secretary of Defense (OSD) and Office of Personnel Management (OPM) approval of the number of ST and SL positions allocated to the Air Force.

3.1.1.2. Approve position classification and authorize use of ST or SL position allocations.

3.1.1.3. Approve qualifications of individuals for appointment.

3.1.1.4. Evaluate current and projected use of positions to assure proper use of resources.

3.1.2. Requesting Official. Submit requests for positions to AFDPS for ERB action only after approval by the Under Secretary, Assistant Secretaries and General Counsel in OSAF, Deputy Chiefs of Staff and Assistant Chiefs of Staff in HQ USAF, or MAJCOM commander and equivalent, for positions in their organizations.

3.1.3. Criteria for an ST Position. Designate a position as ST when it:

3.1.3.1. Is properly classified above the GS-15 grade level and is not designated above Level IV of the Executive Schedule.

3.1.3.2. Is a scientific or professional position engaged in research and development functions.

3.1.3.3. Does not meet the criteria for SES.

3.1.4. Criteria for an SL Position. Designate a position as SL when it:

3.1.4.1. Is properly classified above the GS-15 grade level and is not designated above Level IV of the Executive Schedule.

3.1.4.2. Does not meet the criteria for SES or ST.

3.1.5. Documentation Required. Submit the following documentation to AFDPS for the establishment of an ST or SL position:

3.1.5.1. Position Description. The Civilian Personnel Flight (CPF) must work with the supervisors of ST and SL positions and document each proposed new or revised position description on Optional Form 8, Position Description. The CPF submits the original copy of this form with an evaluation statement as part of the substantiating analysis through appropriate channels to AFDPS for ERB approval. Send all changes to position descriptions to AFDPS with a new position description and any necessary documentation stating the reason for the change. Minor changes may be documented by pen and ink changes to a previously approved position description and submitted with a cover memorandum to AFDPS.

3.1.5.2. Evaluation Statement. Include with the analysis a classification rationale as to why the position exceeds the GS/GM-15 level and address how the position meets the ST criteria in paragraph 3.1.3. or the SL criteria in paragraph 3.1.4.

3.1.5.3. ST Qualifications Analysis. Include with requests for ST positions an analysis of the proposed appointee's qualifications as a national or international expert in the research to be performed, or an explanation of the type of candidate to be recruited and the recruitment strategy for identifying a candidate.

3.2. Recruitment and Selection:

3.2.1. ST Recruitment and Appointment. ST appointees are recruited noncompetitively, but are appointed in the competitive service. If an organization elects to use merit promotion procedures, follow all requirements of the applicable merit promotion plan. Appointees receive career status upon appointment. Commanders submit requests for appointment to AFDPS for Executive Resources Board (ERB) approval.

3.2.2. SL Recruitment and Appointment. CPFs recruit and appoint SL members in the same manner as other Air Force employees at grade GS-15 and below. Submit requests for appointment to AFDPS for ERB approval.

3.3. Performance Appraisal, Pay, and Awards. ST and SL appointees are covered by the same performance appraisal and awards system as other Air Force employees at grade GS-15 and below. Pay, however, is set as follows:

3.3.1. The DoD Civilian Personnel Manual (CPM) Installments 1 & 2 and 4-12, July 1978, DoD 1400.25-M, requires that pay be set in one of the following pay ranges:

- SL/ST-1: From 120 percent of GS-15 minimum to rate for ES-1
- SL/ST-2: From rate for ES-1 plus \$1 to rate for ES-2
- SL/ST-3: From rate for ES-2 plus \$1 to rate for ES-3
- SL/ST-4: From rate for ES-3 plus \$1 to rate for ES-4
- SL/ST-5: From rate for ES-4 plus \$1 to rate for ES-5
- SL/ST-6: From rate for ES-5 plus \$1 to rate for ES-6

3.3.2. Set pay upon appointment to ST or SL at a rate three percent above the appointee's salary before entering ST or SL, subject to the others restrictions on ST and SL pay.

3.3.3. Reserve pay above the rate for ST/SL-4 for highly unusual situations where the position is especially important to the mission or the qualifications of the individual are unusually outstanding.

3.3.4. The ERB must approve individual pay rates, which may be adjusted after the end of a performance appraisal cycle. An individual's pay level may be adjusted no earlier than one full year from the last adjustment. Submit all pay level adjustment requests to AFDPS for ERB action.

3.3.5. Compensation Limitations. Basic pay plus locality pay may not exceed the payable rate for Executive Schedule level III. Total compensation in any calendar year may not exceed the payable rate for Executive Schedule level I in effect at the end of that year. Total compensation includes basic pay; locality pay; recruitment, relocation and retention payments; physician comparability allowances; and performance/incentive awards.

3.4. Adverse Actions and Removal. For adverse actions and removal of ST and SL appointees, follow the provisions applying to other Air Force employees at grade GS-15 and below.

BILLY J. BOLES, Lt General, USAF
DCS/Personnel

Attachment 1

GLOSSARY OF TERMS

Terms

Air Force Executive Resources Board (ERB).—A board appointed by the Secretary of the Air Force to establish policies for and to manage the SES, ST, and SL program.

Appointing Authority, Authority, Performance Review Board (PRB) Appointing Authority.—

These terms are used to designate individuals to whom the Secretary of the Air Force has delegated the authority to approve fully successful and above performance appraisals, convene PRBs, grant performance awards, nominate Presidential Rank Award recipients, and other related performance actions.

Central Performance Review Panel (PRP).—An ad hoc panel appointed by the Air Force ERB Chair to review and recommend final Air Force action on Presidential Rank Award nominations.

Performance Review Board (PRB).—A board that makes recommendations on performance appraisal ratings, awards (bonuses), and pay level adjustments for SES members assigned to the organizations they serve.

Precedence Priority (DV) Code.—A protocol designator. DV-6 indicates equivalence with brigadier general for protocol purposes. DV-5 indicates equivalence with major general, and DV-4 indicates equivalence with lieutenant general.

Organizational Performance Review Panel (PRP).—A panel that make recommendations on Presidential Rank Awards for SES members assigned to the organizations they serve.

Qualifications Review Board (QRB).—A board established to review and certify the executive qualifications of selectees for initial career appointment to the SES.

Secretariat.—Offices of the Secretary of the Air Force (OSAF).

Senior Executive.—All SES, ST, and SL appointees.

Senior Executive Service (SES) Career Appointee.—An employee with a career appointment who was selected through the SES merit staffing process and whose executive qualifications have been approved by the QRB or who was converted to the SES when the SES became effective in 1979. Appointees who have completed SES probation receive SES career tenure.

SES Career Reserved Position.—An SES position with duties and responsibilities that require the position be filled by a career appointee to assure the public's confidence in the impartiality of Government.

SES General Position.—An SES position not designated career reserved.

SES Limited Emergency Appointee.—An employee with a nonrenewable appointment for up to 18 months to a position established to meet a bona fide, unanticipated, urgent need. Appointments are made only to "General" positions after ERB and OPM approval. Appointments do not require merit staffing procedures and appointees do not acquire SES career status. Appointments may be terminated at the discretion of the Secretary of the Air Force or his or her designee.

SES Limited Term Appointee.—An employee with a nonrenewable appointment for up to 36 months to

a position that will not be continued beyond that time. Appointments are made only to "General" positions after ERB and OPM approval. Appointments do not require merit staffing procedures and appointees do not acquire SES career status. Appointments may be terminated at the discretion of the Secretary of the Air Force or his or her designee.

SES Member, Member.—These terms are used interchangeably to mean an employee in the SES.

SES Noncareer Appointee.—The Secretary of Defense approves all noncareer appointees, subject to receipt of appropriate noncareer appointment authorizations from OPM. Appointments are made only to "General" positions. Appointments do not require merit staffing procedures and appointees do not acquire SES career status. Appointments may be terminated at any time by the Secretary of the Air Force or his or her designee after concurrence by the Secretary of Defense.

Senior Level (SL) Member.—An employee appointed to an SL position.

SL Position.—A civilian position above grade GS-15 that meets neither the managerial criteria for SES nor the research and development criteria for ST.

ST Member.—An employee appointed to an ST position.

Scientific and Professional (ST) Position.—A civilian position above grade GS-15 that does not meet the managerial criteria for SES and is a scientific or professional position engaged in research and development functions.

Uniform Guidelines on Employee Selection Procedures.—Provide principles and guidance for assuring that employee selection procedures are job related and valid, and do not discriminate on the basis of race, color, religion, national origin or sex..

Attachment 2

JUSTIFICATION CRITERIA FOR SES POSITIONS

A2.1. Criteria for Inclusion. Use only those that apply to the position. Follow the format for submission at **Figure A2.1**.

A2.1.1. Characteristics. Type (staff, deputy, manager, specialist, etc.); Scope (operational command, training command, installation command, personnel management, fiscal affairs, etc); and Level (HQ USAF, major command (MAJCOM), numbered air force, etc.) of Function (examples: commander, operational forces, numbered air force level; staff, strategic planning, MAJCOM level; or special staff, legal affairs, service level).

A2.1.2. Grade and Position of Superior, Principal Subordinates, and Lateral Points of Coordination. A consideration of the military, civilian, or governmental structure within which the function is performed and a statement of the level at which the function is performed.

A2.1.3. Proximity and Degree of Supervision Over the Position. The remoteness or closeness of supervision which the incumbent receives and his or her degree of independence of operation.

A2.1.4. Nature, Extent, and Level of Significant Official Relations with US and Foreign Governmental Officials and with the public. Who the incumbent reports to, works for, keeps informed, provides liaison, etc. Whether this is a primary function, frequent requirement, continuous additional duty, occasional requirement, etc. Level of relations with Governmental department or agency, national or local government, civic organizations, industry, press, etc.

A2.1.5. Reflection of National Emphasis and Determination. Relation of position to national objectives and programs, special conditions under which the position was first established, or other reasons why the position reflects national will.

A2.1.6. Special Qualifications Required by the Position. Any special qualifications such as advanced education, or particular training or experience, essential to the proper execution of positional responsibilities.

A2.1.7. Mission of the Organization. The nature of the responsibilities which the organizational mission involves and any non-organizational responsibilities associated with the position. The mission cited should be that of the exact organization or staff function being described. Do not repeat the MAJCOM mission for each subordinate commander or staff officer.

A2.1.8. Resources Managed and Employed. Assigned or programmed personnel, equipment, supplies and real properties, budgets; scope and type of foreign resources involved, if any; or any other important resources.

A2.1.9. Geographical Area of Responsibility. A consideration of the size, location, and, if appropriate, the importance of the land, sea, or air spaces involved.

A2.1.10. Authority To Make Decisions and Commit Resources. An identification of the specific authority delegated to or withheld from the position in either routine or emergency situations.

A2.1.11. Auxiliary Authority and Responsibilities Inherent in the Position. Inherent requirements charged to the position by virtue of the situation, location, proximity, tradition, etc.

A2.1.12. Impact on National Security or Other National Interests. Effects of mission accomplishment or position performance on the protection of national interests or the advancement of national programs.

A2.1.13. Importance to Present and Future Effectiveness and Efficiency of the National Defense Establishment. Effect on the force structure operational capabilities, status of combat readiness, quality of personnel and equipment, cost effectiveness, command control means, management procedures and techniques, responsiveness to national needs, or other factors. Positions charged with training doctrine, systems management, fiscal control, and logistical support are examples meeting this criteria.

A2.1.14. Effect on the Prestige of the Nation or the Armed Forces. How the method and effectiveness of accomplishment reflect on the stature of the nation and its armed forces, influence world and public opinion, affect relations, with allies, and influences the credibility of national aims and capabilities.

A2.2. Use the criterion format at **Figure A2.1.** for the initial request for a position, or when a position changes significantly. Attach Optional Form 8, Position Description, and substantiating analysis with documentation.

Figure A2.1. Format for Submission of SES, ST and SL Positions.

CRITERION FORMAT

1. Position title, series and grade, organization and location.
2. Recommended series and grade, if applicable.
3. Description of duties. (Provide a concise statement of what the incumbent does.)
4. Analysis. (What are the particular aspects of the position that warrant its designation as an executive level position? Justification must be in terms of the criteria in attachment **A2.1.1.-14.** above) Not every criterion will apply to every position. Select only those which have a clear and direct application to the position. Enter the first criterion that applies followed by its application, the second and its application, the third, etc, as shown below.)

Criterion: (Enter the criterion selected.)

Application: (Explain specifically how the criterion applies to the position.)

Attachment 3

COMPETITIVE RECRUITMENT

Section A3A—The Merit Staffing Process

A3.1. Recruitment Plan. The Civilian Personnel Flight (CPF) servicing an office with a vacant SES position must submit a request for authority to recruit and a proposed recruiting plan through appropriate channels to AFDPS for approval before initiating any competitive recruitment. Waive this requirement when AFDPS delegates authority for the recruitment process to the organization with the vacancy. Contents of a recruitment plan are at **Section A3B** of this attachment.

A3.2. Vacancy Announcement. The requirement for announcements are covered in **Section A3C** of this attachment. The servicing CPF must send a copy of each SES vacancy announcement to all other Air Force CPFs.

A3.3. Qualifications Standard. The qualifications standard for the position as shown in the vacancy announcement remains the basic definition of requirements against which the applicants are evaluated throughout the whole examination process (from the drafting of the vacancy announcement to the final review by the Executive Resources Board (ERB) and the OPM Qualifications Review Board (QRB)).

A3.3.1. Establish a qualifications standard for each SES position, or for groupings of similar positions. The supervisor of the position, or other management officials who have knowledge of the necessary technical and managerial requirements, develop these standards with assistance from the servicing CPF. Base the qualification standard on job analysis. Develop when a position is established or an existing position is substantially changed.

A3.3.2. The qualifications standard included in the approved recruitment plan is the official standard and may not be altered unless a new standard is approved by AFDPS. A copy of each qualifications standard and a copy of the standard it replaced, if any, must be kept on file by the servicing CPF.

A3.3.3. Qualifications standards for career-reserved positions must include the executive qualifications/competencies contained in **Attachment 3** and comply with the requirements below.

A3.3.3.1. Executive qualifications/competencies must be certified by the Office of Personnel Management's Qualifications Review Board (QRB) for all initial career appointments to the SES. These qualifications are in addition to specific, professional/technical qualifications established .

A3.3.3.2. After consultation with AFDPS, qualifications standards for general positions may deviate from these guidelines.

A3.3.4. Apply the qualifications standard for a position to all applicants equally and impartially. Base standards on job-related criteria and allow for the assessment of an applicant's relative capacity and fitness for a particular position. Specify clearly to differentiate adequately among applicants. Include the following in each standard:

A3.3.4.1. Mandatory Elements. The knowledges, skills, and abilities (KSAs) essential for successful performance in the position.

A3.3.4.2. Desirable Elements. The KSAs, in addition to those that are mandatory, which are important to successful performance.

A3.3.4.3. Executive Core Qualifications (ECQs). The ECQs that are considered necessary for effective performance in any SES position.

A3.3.5. A qualifications standard cannot require a minimum length of experience as an essential element unless it can be supported by actual data obtained from the job analysis. Do not specify in the qualifications standards a minimum education requirement as a mandatory element beyond that authorized for similar positions at GS-15 and below.

A3.3.6. Each qualification criterion included in a standard must be job-related.

A3.4. Ranking Applicants and Tentative Selection:

A3.4.1. Screening Panel Ranking and Referral:

A3.4.1.1. After the closing date of the announcement, the supervisor of the SES position, with the assistance of the recruiting CPF, establishes a screening panel. The ERB delegates to the panel the responsibility to ensure the proper rating and ranking is conducted.

A3.4.1.2. The panel is composed of SES members and military at the general officer level (AFDPS considers exceptions to this requirement on a case by case basis). The panel should include women or minorities. Normally, panels consist of at least three members.

A3.4.1.3. The screening panel applies the rating schedule to determine qualified applicants and to group them into broad categories. The executive qualifications criteria in **Attachment 3** should be incorporated in the rating schedule. The category ratings are best qualified, qualified, and not qualified. The panel must document the reasons for the distinctions between categories. If large numbers of applicants are in the "best qualified" group, they may be further broken out to make meaningful distinctions.

A3.4.2. The screening panel refers those applicants ranked in the best qualified category to the selecting official.

A3.4.2.1. The referrals should be of a reasonable and manageable number so the selecting official can give equitable consideration to each applicant. Normally, the referral list includes no more than the top five. However, more may be included with justification.

A3.4.2.2. Give the selecting official the panel's written recommendations for the best qualified applicants including a brief merit-based rationale explaining the recommendations.

A3.5. Tentative Selection. The selecting official makes a tentative selection; prepares documentation in support of the proposed selection; and sends the tentative selection case file through civilian personnel channels to AFDPS for ERB consideration. Documentation required for the submission is at **Attachment 5**.

A3.5.1. The QRB does not consider cases that reach it more than nine months after the vacancy announcement closing date.

A3.6. Final Selection Actions:

A3.6.1. ERB Approval. Upon receipt of the tentative selection case file, AFDPS reviews the documentation for completeness and technical accuracy. If all is in order, the case is submitted to the ERB member with functional responsibility for concurrence or nonconcurrence. The other ERB members vote after the primary ERB member's action, and the Chair votes in the event of a tie. The Chair may refer the case to the Secretary of the Air Force for decision in any case.

A3.6.1.1. AFDPS informs the appropriate organization of the decision by the ERB (or by the Secretary).

A3.6.1.2. When the ERB, or the Secretary, approves a selection, AFDPS prepares the ERB request to the Office of Personnel Management (OPM) for QRB certification of the selectee's executive qualifications, for initial career appointment to SES (**Attachment 5**). Only the ERB may request QRB certification of an executive's qualifications.

A3.6.2. The QRB convenes on an ad hoc basis. It is usually made up of three individuals, the majority of whom are career SES members. The QRB certifies the executive qualifications of the selectee for initial appointment as a career appointee into the SES.

A3.6.2.1. The QRB certification process focuses on a review of the scope and quality of work experience, accomplishments, education and training, awards and potential relevant to exercising executive leadership through managing and participating in various activity areas. The individual's overall record should indicate the knowledge, skills, and abilities needed to apply the ECQ in an executive capacity. (See **Attachment 4**).

A3.6.2.2. Incorporate the activity areas into the qualifications standard and rating schedule for the SES position. Thus, the screening panel, the selecting official, the ERB, and the QRB will review the same executive qualifications.

A3.6.3. The executive certification by the QRB is valid for career appointment to the SES for a period of three years, unless revoked by the QRB.

A3.6.4. If the QRB does not approve the qualifications of a proposed career appointee, the ERB may:

A3.6.4.1. Have the case papers returned to the Air Force for resubmission at a later time.

A3.6.4.2. Have OPM retain the nominee's case papers for submission to the next regularly scheduled QRB meeting.

A3.6.5. If a nomination is disapproved by a second QRB panel, do not resubmit that nomination unless one of the following occurs:

A3.6.5.1. The candidate obtains additional qualifying experience.

A3.6.5.2. The candidate is selected under a new vacancy announcement closing at least one year after the closing of the original announcement.

A3.6.6. Forward to AFDPS, within five workdays after final processing, a copy of the SF 50, Notification of Personnel Action, effecting the action.

A3.7. Documentation. The CPF maintains the following documents for two years after a vacancy is filled by SES merit staffing:

A3.7.1. A copy of the applicable qualifications standard, showing mandatory and desirable KSAs and other personal characteristics for the position.

A3.7.2. A copy of the vacancy announcement which shows opening and closing dates and whether it was open to Qualified Federal Government Employees Only or All Qualified Persons, plus a copy of all published announcement revisions or extensions.

A3.7.3. Documentation of recruiting efforts including a copy of the OPM SES vacancy listing showing the vacancy; a list of any agencies and of all non-Federal organizations to which the vacancy announcement was sent; distribution rationale; and copies of any paid advertisements.

A3.7.4. An annotated list of all applicants which shows the level of qualification for each candidate, and if not qualified, the reason why.

A3.7.5. SF 171, Application for Federal Employment, of all qualified applicants.

A3.7.6. Copies of notification of non-selection to all applicants who were qualified, but not selected.

A3.7.7. Screening panel rating schedule and rating sheets showing reasons individuals were placed in particular categories.

A3.7.8. Copy of the results sent to the selecting official.

A3.7.9. Copy of the ERB case file submitted to AFDPS including selection letter or transmittal sent to ERB by the selecting official; statement of selectee's qualifications; and search and referral history.

A3.7.10. A copy of the approved OPM 1390, Executive Personnel Transaction.

A3.7.11. A record of any inquiries or complaints and finding or responses.

Section A3B—Recruitment Plan

A3.8. Development of a Recruitment Plan. A recruitment plan is a set of documents which tells how a competitive search for qualified applicants is conducted for a vacant SES position. It covers position information, qualifications, rating and ranking procedures, who may apply, recruiting sources, and other pertinent information. Recruitment plans must, as a minimum, include the following documents:

A3.8.1. Copy of vacancy announcement.

A3.8.2. Mandatory and desirable qualification requirements.

A3.8.3. Area of competition. Either Qualified Federal Employees Only or All Qualified Persons. Note a search for All Qualified Persons offers a greater opportunity to attract women, minority, and people with disabilities as candidates.

A3.8.4. Copy of the approved Optional Form 8, Position Description, and organization chart.

A3.8.5. List of addressees for all recruitment sources (for example, women and minority organizations, Federal agencies, non-Federal organizations, and specific people who may refer applicants).

A3.8.6. Rating schedule to be used to screen and rank applicants.

A3.8.7. Proposed Criteria to determine best qualified candidates.

A3.8.8. Proposed rating and ranking panel members.

A3.8.9. Planned paid commercial advertisement(s), if intended.

A3.9. Submit the recruitment plan through channels to AFDPS for approval before initiating competitive recruitment.

Section A3C—Vacancy Announcements.

A3.10. Requirements. As a minimum, an announcement must include the position title, location, a brief description of duties, information on pay, precedence priority code, type of position (general or career reserved), mandatory and desirable qualification requirements, the evaluation method, an equal employment opportunity statement, how to apply and request additional information, eligibility requirements, the opening and closing dates for submission of applicants, and Standard Form 181, Race and National Origin Identification.

A3.10.1. Open and Close Dates. The announcement must be open for a minimum of 14 calendar days. The ERB policy is that announcements should normally be open for at least 30 calendar days with additional time allowed for mail and circulation.

A3.10.2. Distribution of the Announcements. Distribute vacancy announcements so that all qualified individuals have access to the information.

A3.10.2.1. A copy of all Air Force SES vacancy announcements should also be sent to AFPCPMC/DPC, 555 E Street West Ste 1, Randolph AFB, Texas 78150-4530.

A3.10.2.2. When recruiting from outside the Federal service, 5 U.S.C. ¶3327 requires that the announcement be made known to all US Employment Service offices. OPM publishes an SES vacancy listing every other week to satisfy this requirement.

A3.11. OPM Vacancy Announcement Listing. All Air Force SES vacancy announcements must be published in the OPM listing of SES vacancies published every other Wednesday.

A3.11.1. To assure the vacancy is publicized in the OPM listings on a timely basis, the recruiting CPF must submit information about vacancies to the Office of Executive Personnel, Office of Personnel Management, 1900 E Street, N.W., Washington, DC 20415, so that it is received by 1600 eastern time on the Monday nine days before the publication date. The OPM listing is published biweekly on Wednesdays.

A3.11.2. The recruiting CPF submits a copy of the vacancy announcement and summary vacancy information to OPM in the format at **Figure A3.1.** The description of duties on the vacancy announcement summary cannot exceed 25 words.

A3.11.3. Keep the announcement open for a minimum of two weeks in the OPM vacancy listing.

Figure A3.1. Senior Executive Service Vacancy Announcement Summary

SENIOR EXECUTIVE SERVICE VACANCY SUMMARY

Position Title, Organization,

Location (City and State)

(use 2 letter state abbreviations)

Application Information

Ann. No:

Closing Date: (mm/dd/yy)

Summary of Duties

(25 words or less)

(list below)

Comr	Commissioner	Fed	Federal	Prog	Programs	Trng	Training
Comt	Committee	Fin	Financial	Proj	Project	Trans	Transportation
Comm	Communication	Gen	General	Reg	Region		

s

Attachment 4

EXECUTIVE CORE QUALIFICATIONS

Section A4A—Office of Personnel Management Criteria

A4.1. This attachment provides information on the scope and content of the five Executive Core Qualifications (ECQ) that provide the focus for Qualifications Review Board (QRB) review of executive or managerial qualifications and are considered necessary for effective performance in any Senior Executive Service (SES) position. Proposed SES appointees must demonstrate executive experience in all of the five ECQs to obtain QRB certification. If a candidate does not fully meet an ECQ, submit a plan showing how he or she will obtain full proficiency.

A4.1.1. The ECQs do not include professional, technical, and program knowledge, skills, and abilities, which are covered in the qualifications standard for the particular SES position being filled.

A4.1.2. The basic definition for each ECQ is supplemented with a list of those Leadership Effectiveness Framework (LEF) Competencies which are particularly important to it and Key Characteristics which reflect possession of the ECQ. Definitions of the LEF Competencies are found at the end of the attachment.

A4.2. Candidates do not need to have experience in each LEF Competency and Key Characteristic to demonstrate possession of the ECQ. Rather, the candidate's overall record (professional and volunteer experience, education and training, accomplishments, awards, and potential) should indicate the knowledge, skills, and abilities needed to apply the ECQ in an executive capacity.

A4.2.1. Strategic Vision. This core qualification involves the ability to ensure that key national and organizational goals, priorities, values, and other issues are considered in making program decisions and exercising leadership to implement and to ensure that the organization's mission and strategic vision are reflected in the management of its people.

LEF COMPETENCIES:

- | | | |
|-------------------------------|------------------------------------|-------------------------|
| • <i>Creative Thinking</i> | • <i>Leadership</i> | • <i>Self-Direction</i> |
| • <i>Customer Orientation</i> | • <i>Oral Communication</i> | • <i>Team Building</i> |
| • <i>External Awareness</i> | • <i>Planning & Evaluating</i> | • <i>Vision</i> |

A4.2.1.1. Key Characteristics include:

- a. Identifying and integrating key issues affecting the organization, including political, economic, social, technological, and administrative factors.
- b. Understanding the roles and relationships of the components of the national policy making and implementation process, including the President, political appointees, Congress, the judiciary, state and local governments, and interest groups.
- c. Exercising leadership and motivating managers to incorporate vision, strategic planning, and elements of quality management into the full range of the organization's activities.

A4.2.2. Human Resources Management. This core qualification involves the ability to design human resource strategies to meet the organization’s mission, strategic vision, and goals and to achieve maximum potential of all employees in a fair and equitable manner.

<i>LEF COMPETENCIES:</i>		
• <i>Conflict Management</i>	• <i>Influencing/ Negotiating</i>	• <i>Oral Communication</i>
• <i>Customer Orientation</i>	• <i>Interpersonal Skills</i>	• <i>Planning & Evaluating</i>
• <i>Decisiveness</i>	• <i>Leadership</i>	• <i>Problem Solving</i>
• <i>Flexibility</i>	• <i>Managing Diverse Workforce</i>	• <i>Self-Direction</i>
• <i>Human Resources Management</i>		• <i>Team Building</i>
		• <i>Vision</i>

A4.2.2.1. Key Characteristics include:

- a. Acquiring a diverse workforce with the necessary knowledge, skills, abilities, and/or potential through appropriate planning, recruitment/outreach, and selection processes.
- b. Assessing employees’ unique developmental needs and providing developmental opportunities which maximize employees’ capabilities and contribute to the achievement of organizational goals.
- c. Fostering a working environment where people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
- d. Providing leadership in setting the work force’s expected performance levels commensurate with the organization’s strategic plan objectives.
- e. Promoting quality through effective use of the organization’s performance management system (e.g., establishing performance standards, appraising staff accomplishments using the developed standards, and taking action to reward, counsel, or remove employees, as appropriate).
- f. Dealing effectively with employee/labor management relations matters, including resolving conflicts, attending to morale and organizational climate issues, handling administrative, labor management, and EEO issues, and taking disciplinary actions when other means have not been successful.

A4.2.3. Program Development and Evaluation. This core qualification involves the ability to establish program/policy goals and the structure and processes necessary to implement the organization’s mission and strategic vision. Inherent in this process is ensuring that programs and policies are being implemented and adjusted as necessary, that the appropriate results are being achieved, and that a process for continually examining the quality of program activities is in place.

<i>LEF COMPETENCIES:</i>		
• <i>Creative Thinking</i>	• <i>Influencing/Negotiating</i>	• <i>Problem Solving</i>
• <i>Customer Orientation</i>	• <i>Leadership</i>	• <i>Self-Direction</i>
• <i>Decisiveness</i>	• <i>Management Controls/</i>	• <i>Team Building</i>

• <i>External Awareness</i>	<i>Integrity</i>	• <i>Technology Management</i>
• <i>Flexibility</i>	• <i>Oral Communication</i>	• <i>Vision</i>
• <i>Human Resources Management</i>	• <i>Planning & Evaluating</i>	• <i>Written Communication</i>

A4.2.3.1. Key Characteristics include:

- a. Assessing policy, program, and project feasibility.
- b. Formulating short-and long-term goals and objectives and integrating them into a strategic plan.
- c. Structuring and organizing work and setting priorities.
- d. Anticipating and identifying, diagnosing, and consulting on potential or actual problem areas relating to program implementation and goal achievement; selecting from alternative courses of corrective action; and/or taking action from developed contingency plans.
- e. Setting effectiveness, efficiency, productivity, evaluation, and management/internal control standards.
- f. Establishing and utilizing procedures and processes to monitor progress toward organizational objectives.
- g. Taking any necessary corrective action to ensure an effective, efficient, and productive organizational unit.

A4.2.4. Resources Planning and Management. This core qualification involves the ability to acquire and administer financial, material, and information resources. It also involves the ability to accomplish the organization’s mission, support program policy objectives, and promote strategic vision.

LEF COMPETENCIES:

• <i>Conflict Management</i>	• <i>Human Resources Management</i>	• <i>Oral Communication</i>
• <i>Decisiveness</i>	• <i>Influencing/Negotiating</i>	• <i>Planning & Evaluating</i>
• <i>External Awareness</i>	• <i>Leadership</i>	• <i>Problem Solving</i>
• <i>Financial Management</i>	• <i>Management Controls/Integrity</i>	• <i>Technology Management</i>
• <i>Flexibility</i>		• <i>Written Communications</i>

A4.2.4.1. Key Characteristics include:

- a. Managing the budgetary process, including preparing and justifying a budget and operating the budget under organizational and Congressional procedures.
- b. Overseeing procurement and contracting procedures and processes.
- c. Integrating and coordinating logistical operations.
- d. Overseeing the allocation of financial resources.
- e. Establishing and assuring the use of internal controls for financial systems.

- f. Ensuring the development and utilization of management information systems and other technological resources that meet the organization’s needs.

A4.2.5. Organizational Representation and Liaison. This core qualification involves the ability to explain, advocate, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations and organizational units.

LEF COMPETENCIES:

- | | | |
|-------------------------------|----------------------------------|---------------------------------|
| • <i>Conflict Management</i> | • <i>Flexibility</i> | • <i>Oral Communication</i> |
| • <i>Customer Orientation</i> | • <i>Influencing/Negotiating</i> | • <i>Self-Direction</i> |
| • <i>External Awareness</i> | • <i>Interpersonal Skills</i> | • <i>Written Communications</i> |

A4.2.5.1. Key Characteristics include:

- a. Representing and speaking for the organizational unit and its work (e.g., presenting, explaining, selling, defending, and negotiating) to those within and outside the agency (e.g., agency heads and other political and career executives; Office of Management and Budget; Congressional members, staffs, and committees; the media; clientele and professional groups).
- b. Establishing and maintaining working relationships with internal organizational units (e.g., other program areas and staff support functions).
- c. Developing and enhancing alliances with external groups (e.g., other agencies and governments, Congress, and clientele groups).
- d. Working in groups and teams; conducting briefings and other meetings.
- e. Seeing that reports, memoranda, and other documents reflect the position and work of the organizational unit.
- f. Getting understanding and support from higher level management.

A4.3. Suggestions for Writing and Assessing Executive/Managerial Qualifications Statements.

A4.3.1. For each of the five Executive Core Qualification activity areas, provide a brief summary of managerial experience or potential that gives an overview of the scope and depth of qualifications in that area. Include at least one example, containing the following elements, for each activity area:

- A4.3.1.1. Specific job-related activity in which the individual participated and a description of what the individual did.
- A4.3.1.2. Description of the context or environment within which the activity occurred, including (as relevant) mention of other individuals or groups involved (e.g., members or staff of Congress, clientele groups) and the nature of the situation (e.g., stable, ambiguous, complex).
- A4.3.1.3. Outcomes or results of the activity. These should provide indicators of the quality and effectiveness of performance.

A4.3.2. The activity areas and competencies are generic and applicable to comparable non-government as well as Federal jobs.

A4.3.3. Demonstrate competence in an activity area as a part of regular supervisory or managerial responsibilities; in special assignments, such as a task force; as a specialist responsible for doing much of the technical work on a plan, budget, or other project; or in a non-job context, e.g., as a volunteer.

A4.3.4. Do not expect or require that a person be a subject matter expert in each competency under an executive core qualification (e.g., planning budgeting, congressional procedures, program evaluation, contracting). It is not necessary to address each competency identified in the core qualifications. However, demonstrate qualifications in each of the five executive core qualifications with sufficient examples to provide a sound basis for reviewers to adequately assess the breadth and depth of the individual's executive qualifications.

LEADERSHIP EFFECTIVENESS FRAMEWORK (LEF) COMPETENCY DEFINITIONS

<u>LEF COMPETENCY</u>	<u>DEFINITION</u>
<i>Conflict Management</i>	Anticipates and seeks to resolve confrontations, disagreements, and complaints in a constructive manner.
<i>Creative thinking</i>	Develops insights and solutions; fosters innovation among others.
<i>Customer Orientation</i>	Actively seeks customer input; ensures customer needs are met; continuously seeks to improve the quality of services, products, and processes.
<i>Decisiveness</i>	Takes action and risks when needed; makes difficult decisions when necessary.
<i>External Awareness</i>	Stays informed on laws, policies, politics, Administration priorities, trends, special interests, and other issues; considers external impact of statements or actions; uses information in decision-making.
<i>Financial Management</i>	Prepares and justifies budget; monitors expenses; manages procurement and contracting.
<i>Flexibility</i>	Adapts to change in the work environment; effectively copes with stress.
<i>Human Resources Management</i>	Ensures effective recruitment, selection, training, performance appraisal, recognition, and corrective/disciplinary action; promotes affirmative employment, good labor relations, and employee well-being.
<i>Influencing/Negotiating</i>	Networks with, and provides information to, key groups and individuals; appropriately uses negotiation, persuasion, and authority in dealing with others to achieve goals.
<i>Interpersonal Skills</i>	Considers and responds appropriately to the needs, feelings, capabilities and interests of others; provides feedback; treats others equitably.

<i>Leadership</i>	Demonstrates and encourages high standards of behavior; adapts leadership style to situations and people; empowers, motivates, and guides others.
<i>Management Controls/Integrity</i>	Ensures the integrity of the organization's processes; promotes ethical and effective practices.
<i>Managing Diverse Workforce</i>	Recognizes the value of cultural, ethnic, gender, and other individual differences; provides employment and development opportunities for a diverse workforce.
<i>Oral Communication</i>	Listens to others; makes clear and effective oral presentations to individuals and groups. (NOTE: Use of a sign language interpreter may be appropriate for persons who are hearing impaired.)
<i>Planning and Evaluating</i>	Establishes policies, guidelines, plans, and priorities; identifies required resources; plans and coordinates with others; monitors progress and evaluates outcomes; improves organizational efficiency and effectiveness.
<i>Problem Solving</i>	Recognizes and defines problems; analyzes relevant information; encourages alternative solutions and plans to solve problems.
<i>Self-Direction</i>	Realistically assesses own strengths, weaknesses, and impact on others; seeks feedback from others; works persistently towards a goal; demonstrates self-confidence; invests in self-development; manages own time efficiently.
<i>Team Building</i>	Fosters cooperation, communication, and consensus among groups.
<i>Technical Competence</i>	Demonstrates technical proficiency and an understanding of its impact in areas of responsibility.
<i>Technology Management</i>	Encourages staff to stay informed about new technology; applies new technologies to organizational needs; ensures staff are trained and capable.
<i>Vision</i>	Creates a shared vision of the organization; promotes wide ownership; champions organizational change.
<i>Written Communication</i>	Communicates effectively in writing; reviews and critiques others' writing.

Attachment 5

TENTATIVE SELECTION CASE FILE SUBMISSION

A5.1. Competitive Selection. The following is a checklist to be used as a quick reference to ensure that all needed tentative selection papers are submitted to AFDPS. Each submission must be tabbed and in three hard copies (reproductions). All submissions include:

A5.1.1. A transmittal letter signed by the commander or a designated representative of the major command or comparable level organization.

A5.1.2. Executive summary (**Figure A5.1.**).

A5.1.3. A current Optional Form 8, Position Description, and organizational chart.

A5.1.4. Position qualifications standard.

A5.1.5. Technical qualifications analysis.

A5.1.6. Executive Core Qualifications analysis written or endorsed by the individual's supervisor. (See **Attachment 4.**)

A5.1.7. Selectee's supervisor's or management official's narrative evaluation and individual's current performance appraisal or equivalent.

A5.1.8. Search and referral history containing the specific actions taken to locate women and minority candidates. Also describe, to the extent practical, the numerical composition of the applicant pool, identifying female and minority candidates categorized by not qualified, qualified-not referred for selection consideration, and qualified-referred for selection consideration. Provide a brief analysis giving the reason(s) for a woman or minority candidate being in the not qualified or qualified-not referred for selection category.

A5.1.9. Copy of the vacancy announcement.

A5.1.10. Selectee's SF 171, Application for Federal Employment. If the selectee is a Federal employee, include a copy of the most recent SF-50.

A5.1.11. Panel's written rationale for applicants ranked as best qualified.

A5.1.12. SF 171s of best qualified applicants.

A5.1.13. Approved Senior Executive Service Executive Enhancement Plan (EEP) for the selectee.

A5.1.14. OPM Form 1390, Executive Personnel Transaction, for the selectee indicating the following in Section VII:

A5.1.14.1. Approval criterion A, B, or C (**Attachment 6.**)

A5.1.14.2. Number of the Office of Personnel Management (OPM) Senior Executive Service (SES) vacancy listing in which the position was announced. If unknown, enter recruitment announcement number and date opened and closed.

A5.1.14.3. Complete section 11a if the selectee is presently employed by the Government.

A5.1.14.4. Complete the geographic location code in section 11b. This information is necessary for all OPM Forms 1390 submitted to OPM.

A5.1.14.5. All of the above applies to the tentative selectee for initial appointment into SES through the competitive process. For proposed noncompetitive reassignment only an executive summary, an amendment to the current SF 171 and a request letter from the command are required.

A5.2. Time Limit. Tentative selection cases must be received by AFDPS within six months of the closing date of the vacancy announcement. Cases not received within this period must be reannounced and new competition held unless AFDPS grants an exception.

Figure A5.1. EXECUTIVE SUMMARY

1. Position Title/Specific Location	List information here
2. Date and Reason Position Vacated	List information here
3. Opening and Closing Date of Announcement	List information here
4. Recruitment Rationale	Discuss candidate sources used e.g.: Minority organizations, special sources(identify publication dates of magazines and journals used)
5. Number of Applications Received	
6. Number of Applicants:	Rated Not Qualified Rated Qualified Rated Best Qualified
7. Minority and Female Applicants	Qualification level of each and a statement why they any were less than best qualified
8. Composition of Rating Panel	(Name, Grade/Rank, Organization)
9. Composition of Ranking Panel	(Same as above)
10. Candidates Interviewed by	(Same as Above)
11. Tentative Selection Reviewed by	(Same as Above)
12. Tentative Selection Endorsed by	(Same as Above)
13. Comparison of the Selectee's Qualifications to the other Best Qualified candidates to include qualifications, interview results and any other pertinent factors.	(This information may be continued on a separate sheet of paper and should clearly show how the qualifications of the tentative selectee are superior to each of the other best qualified candidates. Also include a brief discussion of why and how many candidates were rated qualified and not qualified
14. Supervisor of Vacant Position	Name, Grade/Rank, Organization)

Attachment 6

REQUESTS FOR QUALIFICATION REVIEW BOARD CERTIFICATION

Section A6A—Requests for QRB Certification

A6.1. Do not send requests directly to OPM. Submit the following to AFDPS for Executive Resources Board (ERB) review:

A6.1.1. OPM Form 1390, Executive Personnel Transaction.

A6.1.2. SF 171, Application for Federal Employment.

A6.1.3. Qualifications standard for the position, or group of similar positions, to which appointment is proposed. When certification is requested for a person who has successfully completed an OPM approved executive development program, give the name of the program and the completion date.

A6.1.4. Statement that the ERB has reviewed the selectee's qualifications and finds that they meet the qualifications standard.

A6.1.5. AF Form 1426, Senior Executive Service Executive Enhancement Plan, for the selectee for the probationary year, listing the developmental activities and course(s) to attend which strengthen the individual's executive qualifications, if applicable.

A6.1.6. Brief written evaluation of the selectee's background in support of the recommendation for approval of executive qualifications. The evaluation statement includes the following:

A6.1.7. Identification of one of the three criteria on which the recommendation for certification is based and information about the selectee's background which supports the ERB evaluation. This is based on the criteria in **Attachment 3** and provides the type of information listed below.

A6.1.7.1. For Criterion A, Demonstrated Executive Experience. Executive activity areas in which the selectee has experience are identified and specific examples cited as an integral part of the analysis.

A6.1.7.1.1. Reference from persons able to evaluate past executive success in the activity areas may also be attached.

A6.1.7.1.2. Executive qualifications narrative supplementing the information in the SF 171.

A6.1.7.2. For Criterion B, Successful Participation in an Office of Personnel Management (OPM) Approved Executive Development Program.

A6.1.7.2.1. Identify the program, the date OPM approved it, and the dates the selectee participated in the program.

A6.1.7.2.2. The ERB states that all developmental activities were satisfactorily completed, and that the quality of performance in developmental activities indicates that the person possesses the necessary competencies.

A6.1.7.3. For Criterion C, Special or Unique Qualities Indicating the Likelihood of Executive Success. Define the selectee's executive qualifications; the special or unique qualities possessed and how they were identified; and the developmental activities planned for the selectee during the probationary year.

A6.1.7.3.1. The ERB also submits references from persons with knowledge of the selectee's executive potential in the activity areas.

A6.1.7.3.2. Verified supplemental qualifications statements or structured interview reports may supplement references.

A6.1.7.3.3. Use Criterion C only when the individual cannot have participated in an approved executive development program.

Attachment 7

CRITERIA FOR PRESIDENTIAL RANKS AND STIPENDS

A7.1. Criteria for Presidential Ranks. Supervisors nominate SES members for Presidential Ranks to recognize prolonged, high-quality accomplishment by members of the Senior Executive Service. The President approves the awarding of ranks and accompanying stipends to a select number of executives who hold career appointments. A nominee must demonstrate sustained accomplishments for the rank of Meritorious Executive and must demonstrate sustained extraordinary accomplishments for the rank of Distinguished Executive.

A7.2. Evaluate nominees on criteria that include, but are not limited to, the following. For each criterion used, cite specific example(s).

A7.2.1. Career achievements generally recognized throughout the Air Force or Department of Defense, or acknowledged on a national or international level.

A7.2.2. Specific achievement of significant cost reductions or cost avoidance enabling the Air Force to reallocate resources to high priority activities.

A7.2.3. Successful use of human resources as evidenced through high work force productivity, and/or effective development and recognition of subordinates.

A7.2.4. Demonstration of personal initiative and innovation in overcoming obstacles to achieve organizational objectives.

A7.2.5. Substantial improvements in quality of work, efficiency, and/or timeliness of service.

A7.2.6. Unusual levels of cooperative efforts with other Federal agencies and Governmental jurisdictions and or the private sector.

A7.2.7. Especially successful efforts in affirmative action and in encouraging or maintaining a workforce that is culturally diverse and responsive to people with disabilities. The documentation must clearly address the individual's significant contribution and accomplishment in the area of workforce diversity issues.

A7.2.8. Major civilian career related awards and honors received may be listed on a separate page.

A7.3. In meeting the criteria listed in A.7.2.1-8 and in all other areas cited in support of the nomination, the nominee must clearly have demonstrated qualities of strength, leadership, integrity, industry, and personal conduct at a level that establishes and maintains a high degree of confidence and trust.